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ABSTRACT

The types and sources of financial assistance provided to undergraduate students by their institutions during 1976-77 were investigated as part of a survey conducted by the American Council on Education (ACE). A sample of 760 colleges and universities that comprise ACE's Higher Education Panel were asked to report the amounts and kinds of institutionally-funded aid provided to undergraduates. This encompassed all aid from private sources distributed exclusively by the institution. Public institutions included their state or local appropriations earmarked for student aid at the institutional or system level. The survey results indicate that during 1976-77 undergraduate students received more than $5.1 billion of their own funds to aid undergraduate students. Of this institutional assistance, 56 percent was provided as grants or scholarships, 36 percent as wages for student employment, and 8 percent as loans. More than 2 million students received some form of assistance from their institutions, averaging $454 in the public sector and $1,366 in the private sector per aided undergraduate. For 600,000 undergraduates, their institutions were the only providers of financial aid. Data are tabulated by the type and source of student aid, dependent undergraduate family incomes, and institution type. The survey instrument is appended. (BH)

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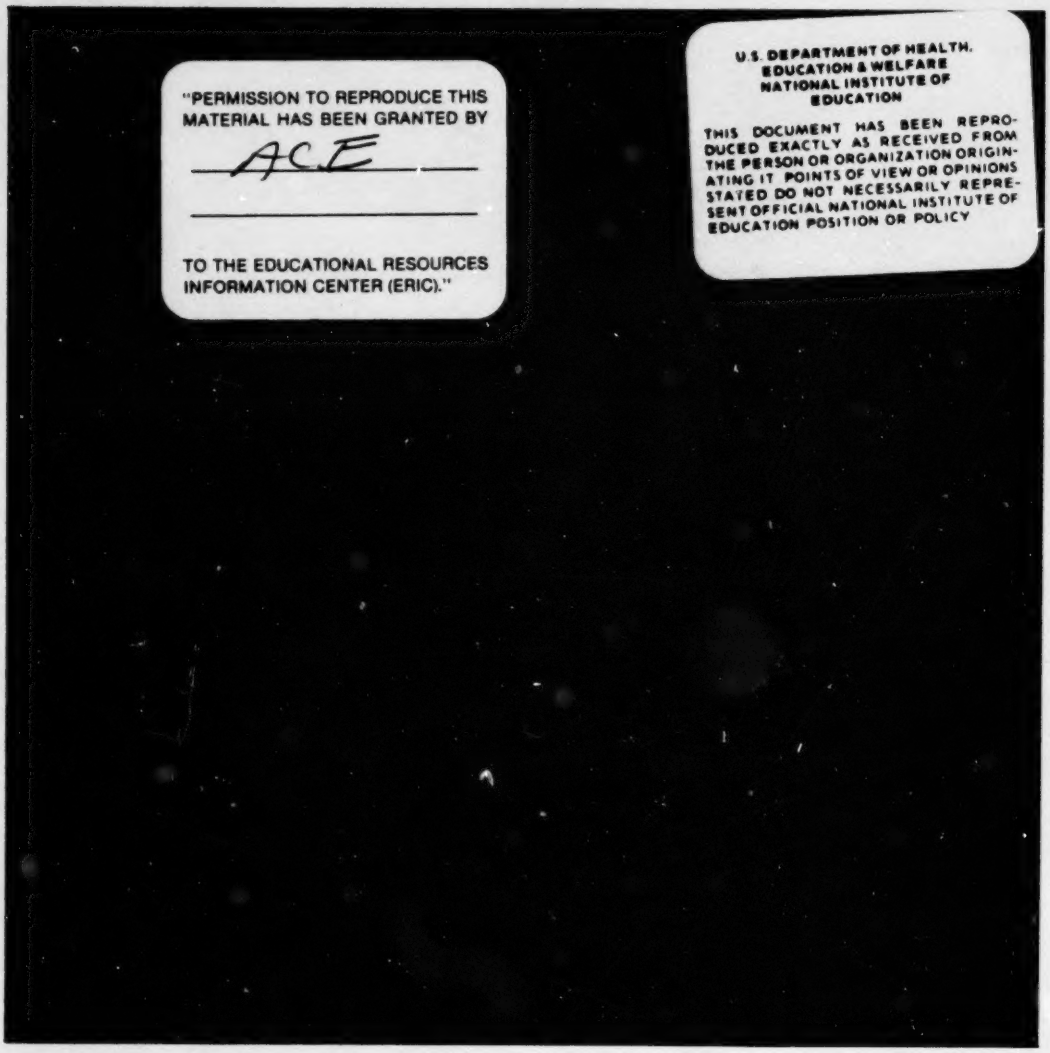
The Institutional Share of Undergraduate Financial Assistance, 1976-77

Irene L. Gomberg and Frank J. Atelsek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AMERICAN COUNCIL ON EDUCATION

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The American Council on Education, founded in 1918, is a council of educational organizations and institutions. Its purpose is to advance education and educational methods through comprehensive voluntary and cooperative action on the part of American educational associations, organizations, and institutions.

The Higher Education Panel is a survey research program established by the Council for the purpose of securing policy-related information quickly from representative samples of colleges and universities. *Higher Education Panel Reports* are designed to expedite communication of the Panel's survey findings to policy-makers in government, in the associations, and in educational institutions across the nation.

The Higher Education Panel's surveys on behalf of the Federal Government are conducted under contract support provided jointly by the National Science Foundation, the National Institute of Education, and the U. S. Office of Education (NSF Contract SRS-78-16385).

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Higher Education Panel Reports

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Table of Contents

	Page
Acknowledgments	iv
Highlights	v
Background	1
Methods Summary	1
Findings	3
Total Financial Aid	4
Institutionally Funded Student Aid	5
Financial Aid Recipients	12
Summary	15
Tables	17
Appendix A: Survey Instrument	27
Appendix B: Methodology	32
Appendix C: Reliability of Estimates	34

Acknowledgments

This survey was part of a larger project undertaken by ACE's Economics and Finance Unit and supported by a grant from the Exxon Education Foundation to study financial aid provided to undergraduate students by colleges and universities from their own funds. Sharon L. Coldren as Principal Investigator and Carol Van Alstyne as Director of the Unit were responsible for designing the survey and reviewing this report which describes the findings. Additional analyses of the survey data will be published separately.

A number of other ACE staff members contributed materially to this report, including in particular Nabil Issa, who did the computer programming; Clare McManus, who conducted the follow-up activities; and Lois K. Hearing, who provided secretarial services. We are especially grateful to Charles Andersen, who reviewed both the survey instrument and the report and gave us many constructive suggestions; to Joseph Steinberg of Survey Design, Inc., who reviewed the statistical methodology; and to Laura Kent, who edited the final report. In addition, the HEP Advisory Committee contributed its helpful guidance.

We again express our gratitude to our Panel representatives and the survey respondents who participated in this very difficult but important study.

Highlights

This survey's primary focus is on the kinds and sources of financial assistance provided to undergraduate students by their institutions. Student assistance comprises (1) *grants*, awards which reduce the direct cost of attendance to students; (2) *employment*, which helps students pay the cost of attendance; and (3) *loans*, which help defray expenses but must be repaid. Sources of aid are (1) *restricted endowment income*, funds whose principal may not be depleted; (2) *restricted gifts*, gifts specifically made for student aid; and (3) *unrestricted general funds*, money given at the discretion of the institution.

To provide perspective on the impact of this aid, the report also presents information on federal, state and local government assistance.

During 1976-77, higher education institutions provided $1.5 billion of their own funds to aid undergraduate students: 56 percent was provided as grants or scholarships, 36 percent as wages for student employment, and 8 percent as loans.

- The private sector financed one-half of all institutionally funded grants, loans, and wages but enrolled only one-fourth of all undergraduates.
- Colleges and universities accounted for 30 percent of the estimated $5.1 billion in financial aid awarded to undergraduates from institutional and direct governmental programs; state and local governments provided 24 percent; and the federal government, 46 percent.
- Public institutions provided 26 percent of all aid to their undergraduates; the federal government provided 55 percent; and state and local governments, 19 percent.
- Private institutions contributed 35 percent of all aid to their undergraduates; the federal government contributed 35 percent; and state and local governments, 30 percent.
- Of the $1.4 billion institutions provided as grants or wages, 39 percent was used for student employment, 34 percent was used for need-based awards, 9 percent for academic merit awards, 8 percent for athletic scholarships, 7 percent for tuition remissions, and 3 percent for other grants.
- Most of the aid (58 percent) provided at public institutions was in the form of wages for campus-based employment, whereas most of the aid (50 percent) provided at private institutions was in the form of need-based grants.

Institutions financed 84 percent of their student aid from unrestricted general funds, 9 percent from restricted gifts, and 7 percent from restricted endowment income.

- Public institutions allocated the largest share of their unrestricted funds to wages (66 percent), whereas private institutions allocated the largest share of their unrestricted funds to need-based aid (44 percent).
- Of the endowment income restricted to student aid, public institutions used half for need-based grants and 36 percent for merit awards; in contrast, private institutions used 86 percent of these funds for need-based aid and 9 percent for merit awards.
- Private institutions used the largest share of restricted gifts for need-based assistance (65 percent), whereas public institutions used the largest share of restricted gifts for athletic scholarships (34 percent).
- At nearly all types of institutions, at least eight of every ten loan dollars came from unrestricted funds.
- During 1974-75, institutions provided $942 million in undergraduate aid (grants and wages) from their unrestricted general funds; that figure increased by 11 percent during 1975-76, and by an additional 12 percent to $1,176 million over the next year. These aid funds constituted 3 percent of all educational and general expenditures (including mandatory transfers) for each of the three years.

Approximately 2.3 million students, representing one-third of all undergraduates enrolled in 1976-77, received financial assistance from their institutions.

- An estimated 3.9 million students (56 percent of undergraduates enrolled) received some form of aid from institutional or governmental sources; 1.9 million (27 percent) received aid from U.S. Office of Education programs, and 600,000 (8 percent received aid only from their institutions.
- The amount of institutional aid (grants, wages, and loans) provided to each recipient averaged $1,366 in the private sector and $454 in the public sector, which reflected a comparable difference between the two sectors in the cost of attendance.
- Twenty percent of the 2.3 million undergraduates who received aid from their institutions were classified as independent and 80 percent were classified as dependent. Of the dependent undergraduates, 34 percent came from families with annual incomes below $7,500; 22 percent were from families earning between $7,500 and $12,000; 20 percent, between $12,000 and $15,000; and 23 percent, $15,000 or more.

Background

For some time, policymakers in higher education have been interested in examining the institutional share of student financial assistance as an aid to discussing key policy issues, such as the effectiveness of governmental student aid programs, trends in the ability to pay for college, and the financial condition of colleges and universities. Therefore, the American Council on Education's Economics and Finance Unit asked the Higher Education Panel to conduct a survey on the sources of institutionally funded undergraduate student aid and the forms which such aid took during academic year 1976-77. This survey is part of a larger study by the Economics and Finance Unit on institutionally funded student aid supported by a grant from the Exxon Education Foundation.

This project was able to build on information relating to federal student aid programs collected earlier by the Higher Education Panel. The Panel has conducted several surveys[1] designed to elicit information on the characteristics (sex, race, enrollment status, and family income) of students receiving aid under OE student assistance programs: Basic Educational Opportunity Grants (BEOG), Supplemental Educational Opportunity Grants (SEOG), College Work-Study (CWS), National Direct Student Loans (NDSL), and Guaranteed Student Loans (GSL).

Methods Summary

The Higher Education Panel is a continuing survey research program created in 1971 by the American Council on Education to conduct specialized surveys on topics of current policy interest to the higher education community and to government agencies.

The Panel is a stratified sample of 760 colleges and universities drawn from the more than 3,000 institutions listed in the National Center for Education Statistics'

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[1] No. 18, The Impact of Office of Education Student Assistance Programs, Fall 1973 (1974); No. 27, Student Assistance: Participants and Programs, 1974-75 (1975); No. 36, Estimated Number of Student Aid Recipients, 1976-77 (1977).

Education Directory. All institutions in this population are grouped in terms of the variables constituting the Panel's stratification design, based primarily on type (university, four-year college, two-year college), control (public, private), and size (full-time-equivalent enrollment). For any given survey, either the entire Panel or an appropriate subset is used.

The eligible populaton for this survey comprised those institutions which enrolled undergraduate students. The survey instrument (Appendix A) was mailed out in two stages in order to accommodate to a scheduling conflict with another Panel study: On April 23, 1978, the questionnaires were sent to two-thirds of the applicable member institutions; on June 19, 1978, the forms were mailed to the remaining one-third.

Panel institutions were asked to report, by primary institutional source, the amounts and kinds of institutionally funded financial aid provided to undergraduates in 1976-77. This encompassed all aid from private sources distributed exclusively by the institution. Public institutions were asked to include state or local appropriations earmarked for student aid at the institutional or system level. Appropriations restricted at the state or local government level, even though part of the institution's general budget, were reported as government aid. Reporting categories were mutually exclusive, and dollar amounts were unduplicated. If awards were multipurpose, they were reported in the category of principal purpose.

Panel participants were also asked to indicate the amounts of grant and work-study funds (e.g., BEOG, SEOG, CWS) and of loan funds (NDSL and other loan programs) provided by the federal government and by state and local governments. The survey included all aid for which the institution acted as delivery agent and excluded veterans and social security benefits, GSLs, and scholarships and loans that went directly from private donors to recipients. (Refer to the survey instrument for complete instructions and definitions.)

Finally, the questionnaire sought estimates of the numbers and family income levels of undergraduates who received institutional aid. These estimates were given for the same income categories as HEP Survey #36 to permit comparison of results.

The eligible sample comprised 734 of the 760 member colleges and universities. By the end of August, after mail and telephone follow-ups, usable data had been received from 553 institutions, or 75 percent of those surveyed. The data from responding institutions were statistically adjusted to represent the national population of 2,869 colleges and universities that enroll undergraduate students, defined according to the 1976 HEGIS opening fall enrollment survey conducted by the National Center for Education Statistics. All data represent independently computed population estimates. Because each data element was weighted separately, subtotals generally approximate, but may not add exactly to, their corresponding totals.

Appendix B compares respondents and nonrespondents and describes the stratification design for weighting. Appendix C presents generalized tables of standard errors and discusses the reliability of the survey estimates.

Findings

In 1976-77, American colleges and universities provided more than $1.5 billion of their own funds to aid their undergraduate students. Over half of this amount was awarded through grants and more than one-third through employment; the remainder, about $130 million, was distributed in the form of loans:

Table A: Institutionally Funded Undergraduate Student Aid, 1976-77

Aid	Millions of Dollars	Percentage Distribution
Total	$1,538	100
Grants	858	56
Employment	550	36
Loans	130	8

Total Financial Aid

During the same year, undergraduates received an additional $2.4 billion from the federal government and $1.2 billion from state and local governments, totaling $5.1 billion in financial aid from institutional and direct governmental programs. (This figure excludes veterans' benefits, social security benefits, and any public or private awards made directly to the students.) As shown below, colleges and universities provided 30 percent of the total, the federal government provided 46 percent, and state and local governments, 24 percent.

Table B: Undergraduate Student Aid, 1976-77

Source	Millions of Dollars	Percent Distribution
Total	$5,116	100%
Institution	1,538	30
Loans	130	3
Grants	858	17
Employment	550	11
State and local government	1,209	24
Loans	419	8
Grants, work-study	722	14
Other	67	1
Federal government	2,370	46
Loans	459	9
Grants, work-study	1,911	37

Note: On this and subsequent tables, subtotals may not add exactly to totals because of weighting and rounding.

One-fifth of all undergraduate assistance in 1976-77 was given in the form of loans. Institutions were least likely, and state and local governments most likely, to provide aid in this form: 8 percent of all institutional aid funds, compared with 35 percent of all state and local aid funds (Table 1). (Note: Numbered tables are at the end of the report.)

At public institutions, over half (55 percent) of the undergraduate financial support came from the federal government, 26 percent came from institutional sources,

and the remaining 19 percent came from state and local government student aid programs. In the private sector, the institutions themselves provided as much undergraduate aid as did the federal government (35 percent each); state and local governments contributed 30 percent.

Among public institutions the relative importance of each source of support differed according to institutional type. Students at two-year colleges got seven of every ten aid dollars from the federal government and only 12 percent from their own institutions (Table 2). In contrast, undergraduates at public universities received nearly as much assistance from their own institutions as from the federal government (40 percent and 45 percent, respectively).

Universities in the private sector also contributed heavily to student aid, accounting for 44 percent of all assistance to their undergraduates--with the rest coming about equally from federal and from state and local funds. Private four-year colleges gave 34 percent of their undergraduates' aid dollars, and private two-year colleges gave only 16 percent.

Institutionally Funded Student Aid

Private institutions, which enrolled only one-fourth of all undergraduates,[2] contributed slightly more than half of all institutionally funded undergraduate student aid. The following table summarizes the distribution of undergraduate enrollment and of institutional aid within each category:

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[2]The enrollment figures cited in this report refer to full-time-equivalent enrollments (FTE). Although most student aid recipients are full-time students, part-time students are also eligible for some aid programs. The FTE figures thus represent a compromise between full-time enrollment and total enrollment, which counts part-time students on a par with full-time students.

Table C: Percentage Distribution of Fall 1976 Undergraduate Enrollment (FTE) and Institutionally Funded Undergraduate Student Aid, 1976-77

Institutional Category	Undergraduate Enrollment[a]	Institutionally Funded Undergraduate Aid (in millions)			
		Total	Grants	Employment	Loans
Total	6,881,180	$1,538	$858	$550	$130
	100%	100%	100%	100%	100%
Public institutions	76	49	34	73	55
Universities	22	27	17	41	29
Four-year colleges	25	17	13	23	18
Two-year colleges	30	6	4	8	8
Private institutions	24	51	66	27	45
Universities	5	17	22	7	20
Four-year colleges	16	32	42	19	22
Two-year colleges[b]	2	1	2	1	2

[a]Source: NCES, 1976 Opening Fall Enrollment.

[b]Data on private two-year colleges should be used with caution and only in conjunction with their standard errors.

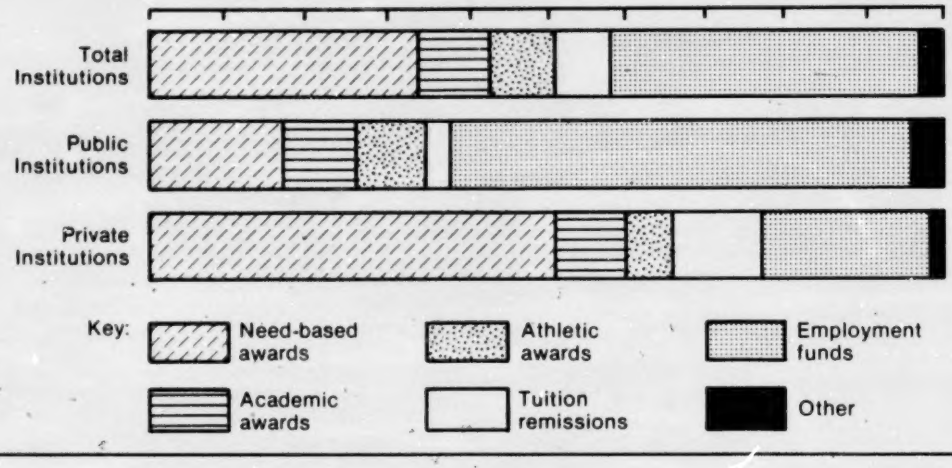
Relative to their enrollments, public and private universities and private four-year colleges provided higher-than-average proportions of overall student assistance dollars, whereas public four-year and two-year colleges provided lower-than-average proportions.

Forms of Institutional Aid

Of the $1.5 billion total, $1.4 billion was earned or awarded without obligation of repayment. Of this $1.4 billion, $550 million (39 percent) was given in the form of wages and matching funds for student employment (Table 3). An additional $478 million (34 percent) was used for need-based awards. Academic merit awards accounted for 9 percent, athletic scholarships for 8 percent, staff or dependents' tuition remissions for 7 percent, and other grants-in-aid for 3 percent.

As shown below, the mix differed according to institutional control, with public colleges and universities awarding more employment-based aid and private institutions awarding more need-based aid:

Figure A
Forms of Institutionally Funded Undergraduate Student Aid, 1976-77
(Percentage Distribution of Aid Dollars)



Nearly six of every ten aid dollars in the public sector were used for employment compensation, compared with two of every ten aid dollars in the private sector (Tables 4-5). Half of all student aid at private institutions was given in the form of need-based grants, compared with 17 percent at public institutions.

Sources of Institutional Aid

Institutional funds come from three main sources: restricted endowment income, restricted gifts, and unrestricted general funds.[3]

[3]The term *restricted endowment income*, including endowment interest and endowed scholarships, refers to funds whose income is limited to student financial assistance. *Restricted gifts* are outright gifts and grants from private individuals or organizations which are specifically reserved for student aid. *Unrestricted general funds* are those funds allocated to student aid at the discretion of the institution.

Unrestricted general funds financed the vast majority of institutional student aid, accounting for $1,176 million, or 84 percent of the total. Restricted funds provided the remainder: 9 percent from gifts and 7 percent from endowment income.

The funds from each of these three sources tended to be directed towards different forms of aid. Most (76 percent) of restricted endowment income took the form of need-based awards. Restricted gifts as well were used chiefly for need-based awards but to a lesser extent (43 percent), and 24 percent of such funds were given as athletic scholarships. Unrestricted general funds were used chiefly for employment compensation (46 percent) and secondarily for need-based grants (29 percent).

Public/Private Differences

The public and private sectors differed considerably in the way they distributed the student aid from each source. At public institutions, half of the restricted endowment income was used for need-based grants and more than one-third was used for academic merit awards (Table 4). In contrast, at private institutions almost nine of every ten dollars of restricted endowment income was used for need-based awards (Table 5).

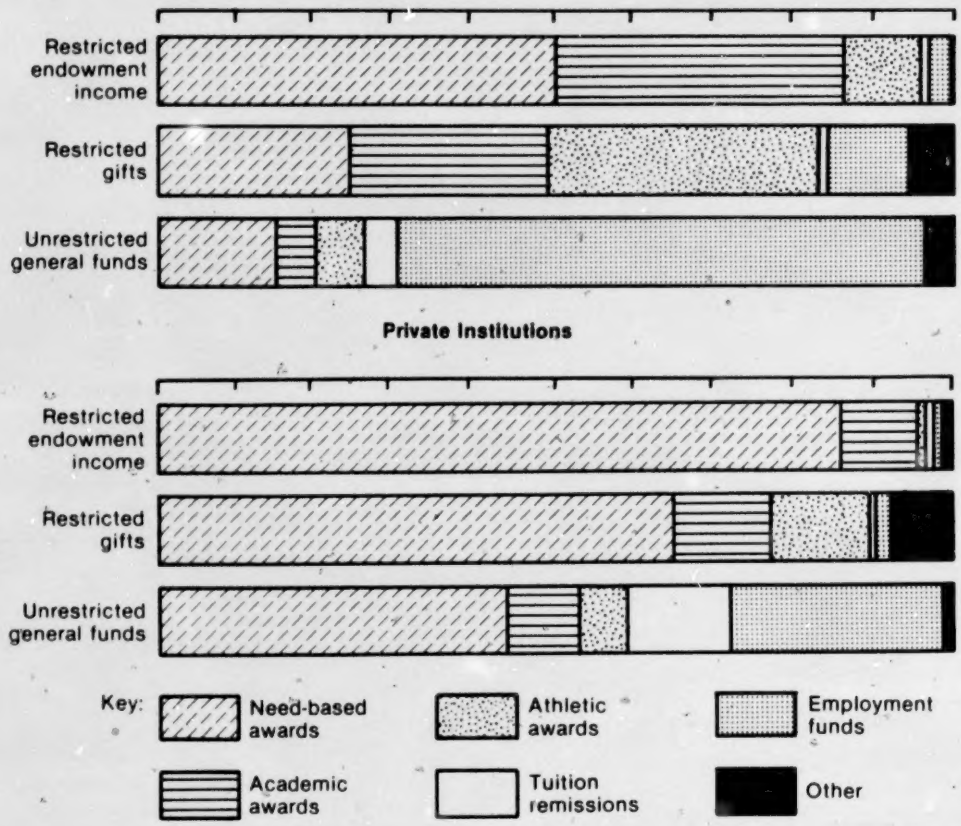
Within private institutions, the largest proportions of both restricted gifts and unrestricted general funds were given as need-based grants (65 percent and 44 percent, respectively). At public institutions the largest share of unrestricted general funds was allocated to employment compensation (66 percent), and the largest share of restricted gifts was used for athletic scholarships (34 percent). (See Figure B.)

Generally, universities, four-year colleges, and two-year colleges in the same sector resembled each other in the way they used student aid funds, although there were some distinctions among them (Tables 6-10).

Loans

About $130.5 million was lent to undergraduates, representing 8 percent of the total $1.5 billion provided by the institutions. More than four-fifths of loan

Figure B
Forms of Institutionally Funded Student Aid
By Source, 1976-77
(Percentage Distribution of Aid Dollars)



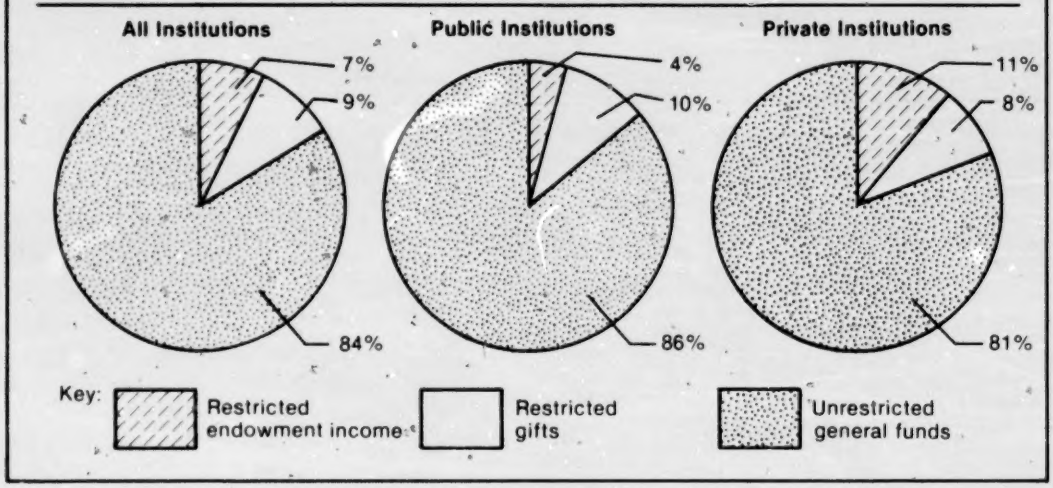
money was financed through unrestricted general funds; 10 percent came from restricted gifts, and the remaining 7 percent from restricted endowment income (Table 11).

The importance of unrestricted funds to the loan programs was fairly consistent across institutional categories: At least eight of every ten loan dollars came from this source at all types of institutions except private two-year colleges.

Distribution of Sources of Aid

As previously noted, unrestricted general funds provided $1.2 billion, or more than four-fifths of all institutional aid:

Figure C
Sources of Institutionally Funded Undergraduate Student Aid, 1976-77
(Percentage Distribution of Aid Dollars)



Unrestricted funds supported from 67 percent of academic merit grants to 98 percent of employment compensation and of tuition remissions and waivers (Table 12). Restricted gifts financed 28 percent of athletic awards, and restricted endowment income paid for 17 percent of need-based grants.

Institutions in both the public and private sectors relied quite heavily on unrestricted general funds to finance student aid, especially need-based aid and employment (Tables 13 and 14). In only a few categories of aid did the proportion

of dollars from unrestricted funds fall below 60 percent: at public universities, 45 percent of academic merit awards and 50 percent of athletic awards; at public two-year colleges, 45 percent of academic merit awards; and at private universities, 44 percent of other grants-in-aid (Tables 15-19).

Among *restricted* funds alone (which comprised 16 percent of the total), public institutions relied more heavily on gifts than on endowment income, whereas private institutions relied more on endowment income than on gifts:

Table D: Percentage of Institutional Student Aid Derived From Restricted Funds

Institution	Total Aid (in millions)	Restricted Endowment Income	Restricted Gifts
Total	$1,407	7%	9%
Public	689	4	10
Private	718	11	8

Trends in Unrestricted General Funds Allocation

To assess trends in the contribution of unrestricted general funds to institutional student aid programs, respondents were asked to report the total amount of undergraduate aid in the form of grants and wages financed from unrestricted funds not only in 1976-77 but also in each of the two preceding academic years. The weighted national estimates from the survey show that in academic year 1974-75, $942 million in undergraduate aid came from unrestricted funds (Table 20). That amount increased by 11 percent in 1975-76, and by an additional 12 percent the following year, as the table below indicates:

Table E: Undergraduate Student Aid Financed by Unrestricted General Funds

Academic Year	Millions of Dollars	Percentage Increase From Preceding Year
1974-75	$ 942	--
1975-76	1,046	11.0
1976-77	1,176	12.4

Despite the continued increases in the amount of unrestricted funds channeled to student aid, the proportion that these funds comprised of total educational and general expenditures remained quite stable over the three-year period:[4]

Table F: Educational and General Expenditures, Including Mandatory Transfers

Academic Year	Millions of Dollars	Percentage Increase From Preceding Year	Unrestricted General Funds Used for Student Aid as a Percentage of E and G Expenditures
1974-75	$27,783	--	3.4
1975-76	30,839	11.0	3.4
1976-77	33,417	8.4	3.5

Financial Aid Recipients

In 1976-77, 6.9 million undergraduates (full-time equivalent) were enrolled in colleges and universities. Of this number, 3.9 million, or 56 percent, received some form of financial assistance from governmental and/or institutional sources (Table 21). One-third of all undergraduates (2.3 million) received some institutional aid, and 8 percent (nearly 600,000) received aid *only* from their institutions. One-fourth of the students (1.9 million) were recipients under one or more of the Office of Education's financial aid programs.[5] (It should be noted that there is overlap between these groups; some students received assistance from more than one source.)

At all types of institutions, more than half of the undergraduates received some student aid. Proportionately more undergraduates in private institutions than in public institutions got some kind of aid (64 percent, compared with 54 percent). Students at public universities were least likely (51 percent of undergraduates), and students at private four-year colleges were most likely (66 percent) to be aided.

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[4] Source of educational and general expenditure data is NCES, DHEW, Financial Statistics of Higher Education: Current Funds Revenues and Expenditures, Fiscal Year 1975 and Fiscal Year 1976; fiscal 1977 statistics came from pre-publication data from Norman Brandt, NCES.

[5] Data on recipients of OE student aid programs came from an earlier HEP survey report (#36, Estimated Number of Student Aid Recipients, 1976-77, September 1977). Reported totals constitute an unduplicated count of recipients under the BEOG, SEOG, CWS, and NDSL programs.

Corresponding with the higher cost of attendance, a greater percentage of undergraduates in the private sector (37 percent) than in the public sector (32 percent) received aid from their institutions. Two-year colleges in both sectors provided aid to the smallest proportion of students (29 percent in each sector).

Institutionally Aided Undergraduates

An estimated 2.3 million undergraduates received aid from their institutions in the form of grants, wages, or loans amounting on the average to $694 per aided student (Table 22). Overall awards in the private sector were approximately three times higher than awards in the public sector: $1,366 compared with $454. Because tuition and fees in the private sector are generally more than three times higher than those in the public sector, this disparity was expected.[6]

As would also be expected, within each sector, university awards were highest and two-year college awards were lowest. Thus, the highest average award was $1,943 at private universities, and the lowest was $166 at public two-year colleges.

Loan money added about 11 percent to the average total award per student. That proportion ranged from 18 percent at public two-year colleges to 8 percent at public universities.

Undergraduate Family Income

One-fifth of the undergraduates receiving any institutional aid were classified as financially independent (Table 23). Of the dependent students, 34 percent came from families with incomes below $7,500 per year, 22 percent were from families with incomes between $7,500 and $12,000; 20 percent, between $12,000 and $15,000; and 23 percent, $15,000 or more.

Colleges and universities served as the sole source of financial aid for nearly 600,000 undergraduates, or 15 percent of all undergraduates receiving any kind of aid.

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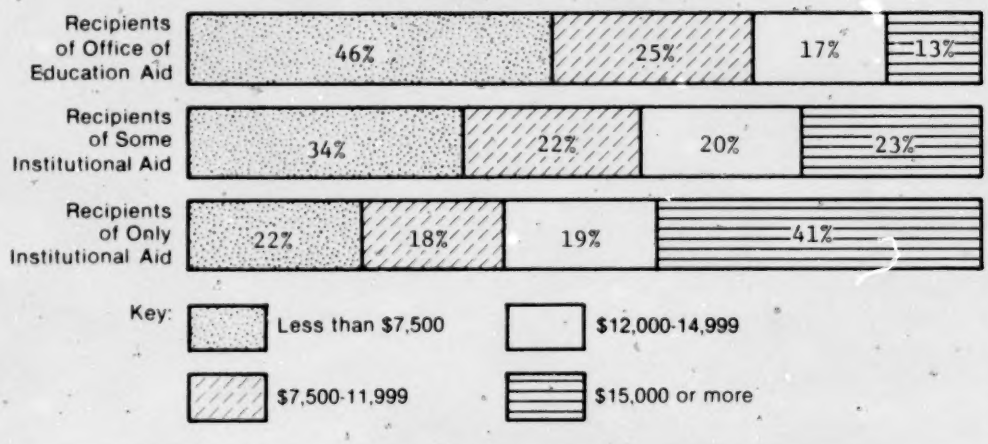
[6] E.W. Suchar, S.H. Ivens, and E.C. Jacobson, Student Expenses at Postsecondary Institutions, 1976-77 (College Entrance Examination Board, 1976).

(Comments from respondents indicated that most of this group was composed of foreign students ineligible for government assistance. Also included would be recipients of nonneed-based awards, such as academic merit awards and athleric scholarships.) One-fifth of these students were independent undergraduates. Of the dependent undergraduates, four out of every ten students came from families with yearly incomes of at least $15,000.

As a group, students who received assistance from their institutions were more affluent than those who received aid under OE's student aid programs. The figure below shows the distribution of aided dependent undergraduates, by family income:

Figure D
Dependent Undergraduate Family Income, 1976-77
(Percentage Distribution of Undergraduates)

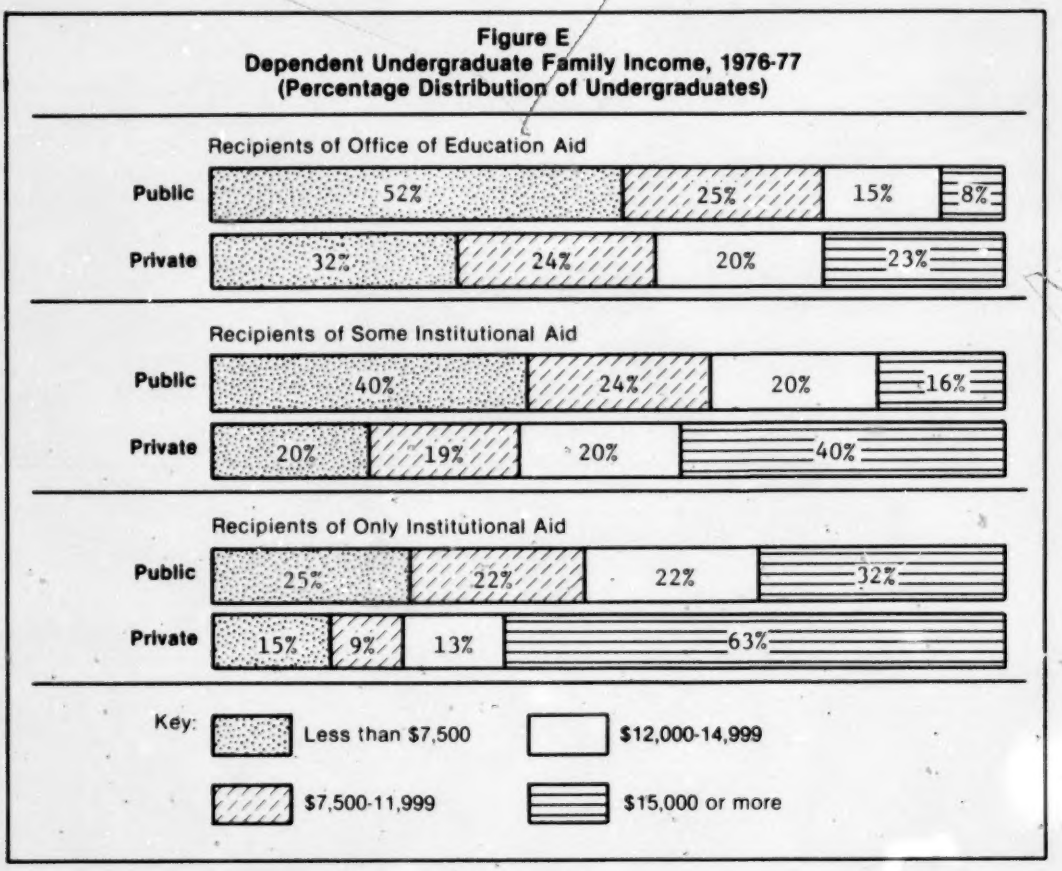


Almost half of the dependent undergraduates who received OE aid came from families with incomes below $7,500, compared with one-third of those who received some institutional aid and one-fifth of those who received only institutional aid.

At public institutions, a greater proportion of the aided students were from low-income families than at private institutions. Among dependent undergraduates in the public sector, half of OE aid recipients, two-fifths of all institutional aid recipients, and one-fourth of recipients of only institutional aid had family incomes

of under $7,500 (Table 24). In the private sector, the comparable figures were 32 percent, 20 percent, and 15 percent, respectively.

Figure E
Dependent Undergraduate Family Income, 1976-77
(Percentage Distribution of Undergraduates)



Summary

Undergraduate students received more than $5.1 billion in financial assistance during 1976-77 to cover the cost of attending college. Almost half came from the federal government, but three of every ten dollars, amounting to $1.5 billion, were contributed by the institutions themselves. Four-fifths of this institutional support came from unrestricted general funds, and the remainder came in nearly equal proportions from restricted gifts and restricted endowment income.

Fifty-six percent of all institutional assistance was given in the form of grants

(need based, academic merit based, athletic scholarships, and tuition waivers); 36 percent was provided as wages; and 8 percent as loans.

Almost 4 million, or 56 percent of undergraduates enrolled during 1976-77 received some form of governmental or institutional aid. More than 2 million received some assistance from their institutions, averaging $454 in the public sector and $1,366 in the private sector per aided undergraduate. And, for 600,000 undergraduates, their institutions were the only providers of financial aid.

Table 1

Percentage Distribution of Sources and Forms of Undergraduate Student Aid, 1976-77, by Institutional Control

Source	All Institutions	Public	Private
Total dollars	$5,116,100,000	$2,913,600,000	$2,202,400,000
Total percentage	100.0	100.0	100.0
Institution			
Loans	2.6	2.5	2.6
Grants	16.8	10.0	25.8
Employment	10.7	13.7	6.7
State/local government			
Loans	8.2	6.3	10.7
Grants and work-study	14.1	11.3	17.8
Other	1.3	1.4	1.2
Federal government			
Loans	9.0	8.9	9.1
Grants and work-study	37.4	46.0	25.9

Note: On this and subsequent tables, dollar amounts are rounded to the nearest $100,000. Because of weighting and rounding, subtotals may not add exactly to totals.

Table 2

Percentage Distribution of Sources and Forms of Undergraduate Student Aid, 1976-77, by Institutional Type and Control

	Public			Private		
Source	University (N=111)	Four-Year (N=407)	Two-Year (N=900)	University (N=71)	Four-Year (N=1,134)	Two-Year[a] (N=246)
Total Dollars	$1,026,300,000	$1,087,300,000	$800,000,000	$582,700,000	$1,481,800,000	$137,900,000
Total Percent	100.0	100.0	100.0	100.0	100.0	100.0
Institution						
Loans	3.7	2.1	1.4	4.6	1.9	2.2
Grants	14.3	9.9	4.5	32.4	24.5	10.6
Employment	21.8	11.8	5.8	7.0	7.1	3.3
State/local government						
Loans	5.0	8.5	5.0	10.9	10.0	16.5
Grants and work-study	10.5	12.7	10.4	15.4	18.7	18.8
Other	.1	1.4	3.0	1.0	1.4	.2
Federal government						
Loans	11.9	8.9	4.9	10.8	8.4	9.4
Grants and work-study	32.7	44.6	65.0	17.9	27.9	39.0

[a]Data from private two-year colleges should be used with caution and only in conjunction with their standard errors.

Table 3

Percentage Distribution of the Forms of Institutionally-Funded Undergraduate Student Aid, by Source of Aid, 1976-77:
All Institutions (N=2,869)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$1,407,100,000	$104,800,000	$126,400,000	$1,175,900,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	33.9	75.9	43.2	29.2
Academic merit awards	9.0	16.2	19.2	7.2
Athletic awards	7.6	3.7	24.0	6.2
Tuition remissions	7.3	.9	.7	8.6
Employment funds	39.1	1.6	6.2	45.9
Other	3.1	1.7	6.7	2.8

Table 4

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77:
Public Institutions (N=1,418)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$688,800,000	$28,200,000	$67,900,000	$592,700,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	17.2	49.7	24.2	14.9
Academic merit awards	8.6	36.1	25.2	5.4
Athletic awards	9.0	9.9	34.2	6.1
Tuition remissions	3.3	.6	1.1	3.7
Employment funds	57.8	3.4	9.5	66.0
Other	4.0	.3	5.8	4.0

Table 5

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77:
Private Institutions (N=1,451)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$718,300,000	$76,600,000	$58,400,000	$583,200,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	50.0	85.5	65.2	43.8
Academic merit awards	9.4	8.8	12.2	9.2
Athletic awards	6.3	1.4	12.2	6.3
Tuition remissions	11.2	1.1	.2	13.6
Employment funds	21.0	1.0	2.4	25.5
Other	2.2	2.2	7.7	1.6

Table 6

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77: Public Universities (N=111)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$370,300,000	$17,500,000	$39,200,000	$313,600,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	16.9	54.5	23.9	13.9
Academic merit awards	7.7	32.1	25.7	4.1
Athletic awards	9.3	10.2	40.0	5.5
Tuition remissions	3.4	.1	1.5	3.9
Employment funds	60.5	3.1	5.7	70.5
Other	2.2	.1	3.1	2.2

Table 7

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77: Public Four-Year Colleges (N=407)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$235,900,000	$5,300,000	$22,300,000	$208,300,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	17.8	46.4	19.1	16.9
Academic merit awards	10.0	46.5	23.8	7.6
Athletic awards	9.7	3.2	30.9	7.6
Tuition remissions	2.5	.8	.3	2.8
Employment funds	54.3	2.0	16.8	59.7
Other	5.8	1.2	9.1	5.5

Table 8

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77: Public Two-Year Colleges (N=900)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$82,700,000	$5,500,000	$6,400,000	$70,800,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	17.3	37.7	43.9	13.3
Academic merit awards	8.4	38.9	26.4	4.4
Athletic awards	5.8	15.5	10.8	4.7
Tuition remissions	5.1	2.1	1.1	5.7
Employment funds	56.1	5.5	6.8	64.5
Other	7.2	.3	11.0	7.4

Table 9

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77: Private Universities (N=71)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$230,000,000	$36,900,000	$19,200,000	$173,900,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	55.8	87.7	69.2	47.5
Academic merit awards	5.2	6.3	2.4	5.3
Athletic awards	7.6	2.2	24.0	7.0
Tuition remissions	12.7	2.0	0	16.3
Employment funds	17.8	0	2.0	23.4
Other	.9	1.9	2.5	.5

Table 10

Percentage Distribution of the Forms of Institutionally Funded Undergraduate Student Aid, by Source of Aid, 1976-77: Private Four-Year Colleges (N=1,134)

Forms of Aid	Total Institutional Aid	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total dollars	$469,100,000	$38,100,000	$37,400,000	$393,600,000
Total percentage	100.0	100.0	100.0	100.0
Need-based awards	47.1	83.3	62.3	42.1
Academic merit awards	11.5	11.4	17.0	11.0
Athletic awards	5.7	.6	6.7	6.1
Tuition remissions	10.5	.1	.3	12.4
Employment funds	22.5	1.9	2.8	26.4
Other	2.8	2.7	10.8	2.0

(Note: Data from private two-year colleges are not shown because of the relatively low response rate and relatively high sampling errors.)

Table 11

Source of Institutionally Funded Undergraduate Loans, 1976-77, by Category of Institution (In Percentages)

Category of Institution	Total Dollars	Total Percent	Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
Total	$130,500,000	100.0	6.6	9.9	83.5
Total public	72,100,000	100.0	4.5	12.4	83.1
Universities	38,000,000	100.0	6.7	14.2	79.2
Four-year colleges	23,100,000	100.0	2.2	9.7	88.0
Two-year colleges	11,100,000	100.0	1.6	12.0	86.4
Total private	58,400,000	100.0	9.2	6.7	84.1
Universities	26,700,000	100.0	10.6	2.9	86.6
Four-year colleges	28,600,000	100.0	5.5	9.0	85.6
Two-year colleges[a]	3,100,000	100.0	32.5	18.8	48.7

[a]Data from private two-year colleges should be used with caution and only in conjunction with their standard errors.

Table 12

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: All Institutions (N=2,869)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$1,407,100,000	100.0	7.4	9.0	83.6
Need-based awards	477,600,000	100.0	16.7	11.4	71.9
Academic merit awards	126,300,000	100.0	13.4	19.2	67.4
Athletic awards	107,300,000	100.0	3.6	28.3	68.1
Tuition remissions	103,100,000	100.0	.9	.8	98.2
Employment funds	549,500,000	100.0	.3	1.4	98.3
Other	43,200,000	100.0	4.2	19.7	76.1

Table 13

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Public Institutions (N=1,418)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$688,800,000	100.0	4.1	9.9	86.0
Need-based awards	118,700,000	100.0	11.8	13.9	74.3
Academic merit awards	59,000,000	100.0	17.3	29.0	53.8
Athletic awards	62,200,000	100.0	4.5	37.4	58.1
Tuition remissions	22,800,000	100.0	.7	3.2	96.0
Employment funds	398,500,000	100.0	.2	1.6	98.1
Other	27,700,000	100.0	.3	14.3	85.3

Table 14

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Private Institutions (N=1,451)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$718,300,000	100.0	10.7	8.1	81.2
Need-based awards	358,900,000	100.0	18.3	10.6	71.1
Academic merit awards	67,400,000	100.0	10.0	10.6	79.4
Athletic awards	45,100,000	100.0	2.4	15.8	81.8
Tuition remissions	80,400,000	100.0	1.0	.1	98.8
Employment funds	151,100,000	100.0	.5	.9	98.6
Other	15,500,000	100.0	11.1	29.2	59.7

Table 15

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Public Universities (N=111)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$370,300,000	100.0	4.7	10.6	84.7
Need-based awards	62,500,000	100.0	15.2	15.0	69.8
Academic merit awards	28,400,000	100.0	19.7	35.4	44.9
Athletic awards	34,500,000	100.0	5.2	45.3	49.5
Tuition remissions	12,700,000	100.0	.1	4.7	95.2
Employment funds	223,900,000	100.0	.2	1.0	98.8
Other	8,100,000	100.0	.2	15.0	84.8

Table 16

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Public Four-Year Colleges (N=407)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$235,900,000	100.0	2.2	9.5	88.3
Need-based awards	41,900,000	100.0	5.8	10.2	84.0
Academic merit awards	23,600,000	100.0	10.4	22.5	67.1
Athletic awards	22,800,000	100.0	.7	30.3	69.0
Tuition remissions	5,800,000	100.0	.7	1.1	98.2
Employment funds	128,100,000	100.0	.1	2.9	97.0
Other	13,600,000	100.0	.5	15.0	84.6

Table 17

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Public Two-Year Colleges (N=900)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$82,700,000	100.0	6.6	7.8	85.6
Need-based awards	14,300,000	100.0	14.5	19.8	65.8
Academic merit awards	7,000,000	100.0	30.7	24.4	44.9
Athletic awards	4,800,000	100.0	17.5	14.4	68.1
Tuition remissions	4,200,000	100.0	2.8	1.7	95.5
Employment funds	46,400,000	100.0	.6	.9	98.4
Other	6,000,000	100.0	.3	11.8	87.9

Table 18

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Private Universities (N=71)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$230,000,000	100.0	16.0	8.3	75.6
Need-based awards	128,300,000	100.0	25.2	10.3	64.4
Academic merit awards	11,900,000	100.0	19.4	3.8	76.8
Athletic awards	17,600,000	100.0	4.5	26.1	69.3
Tuition remissions	29,100,000	100.0	2.5	0	97.5
Employment funds	41,000,000	100.0	0	.9	99.1
Other	2,100,000	100.0	33.4	23.0	43.6

Table 19

Percentage Distribution of Institutionally Funded Undergraduate Student Aid, by Form of Aid, 1976-77: Private Four-Year Colleges (N=1,134)

Forms of Aid	Total		Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	Dollars	Percent			
Total	$469,100,000	100.0	8.1	8.0	83.9
Need-based awards	220,900,000	100.0	14.4	10.6	75.1
Academic merit awards	53,800,000	100.0	8.1	11.8	80.1
Athletic awards	26,800,000	100.0	.9	9.4	89.8
Tuition remissions	49,100,000	100.0	.1	.2	99.7
Employment funds	105,500,000	100.0	.7	1.0	98.3
Other	12,900,000	100.0	8.0	31.4	60.6

(Note: Data from private two-year colleges are not shown because of the relatively low response rate and relatively high sampling errors.)

Table 20

Change in Undergraduate Student Aid Financed by Unrestricted General Funds, by Category of Institution

Category of Institution	Unrestricted General Funds				
	1974-75	1975-76		1976-77	
	Dollars	Dollars	% Change from 74-5	Dollars	% Change from 75-6
Total	$942,400,000	$1,045,900,000	11.0	$1,175,900,000	12.4
Total public	483,500,000	540,000,000	11.7	592,700,000	9.8
Universities	277,100,000	310,700,000	12.1	313,600,000	.9
Four-year colleges	149,600,000	167,000,000	11.6	208,300,000	24.7
Two-year colleges	56,700,000	62,200,000	9.7	70,800,000	13.8
Total private	458,900,000	505,900,000	10.3	583,200,000	15.3
Universities	127,500,000	142,000,000	11.4	173,900,000	22.4
Four-year colleges	319,200,000	349,000,000	9.4	393,600,000	12.8
Two-year colleges[a]	12,200,000	14,900,000	21.7	15,700,000	5.6

[a]Data from private two-year colleges should be used with caution and only in conjunction with their standard errors.

Table 21

Proportion of FTE Undergraduate Students Receiving Aid, by Category of Institution, 1976-77

Category of Institution	FTE Undergraduate Enrollment[a] (1976)		Any Kind of Aid	Some OE Aid[b]	*Any* Institutional Aid	Institutional Aid *Only*
Total	6,881,180	100.0	56.3	27.0	32.9	8.5
Total public	5,261,589	100.0	54.0	25.8	31.7	8.2
Universities	1,527,767	100.0	50.6	22.5	32.3	10.5
Four-year colleges	1,702,964	100.0	57.8	27.2	34.7	10.8
Two-year colleges	2,030,858	100.0	53.3	27.2	28.8	4.4
Total private	1,619,591	100.0	64.1	31.0	36.9	9.2
Universities	376,891	100.0	58.4	24.5	36.4	12.6
Four-year colleges	1,112,691	100.0	66.5	32.8	38.1	8.8
Two-year colleges[c]	130,009	100.0	60.2	34.8	28.9	2.3

[a]Source: National Center for Education Statistics, 1976 Opening Fall Enrollment; data are universe data and not subject to sampling error.

[b]Source: F.J. Atelsek and I.L. Gomberg, Estimated Number of Student Aid Recipients, 1976-77, HEP Survey Report #36 (September 1977). Excludes recipients of Guaranteed Student Loan Program.

[c]Data from private two-year colleges should be used with caution and only in conjunction with their standard errors.

Table 22

Average Amount of Institutionally-Funded Undergraduate Student Aid, 1976-77, by Category of Institution

Category of Institution	Average Award Per Institutionally Aided Undergraduate	
	Grants and Employment	Grants, Employment and Loans
Total	$ 627	$ 694
Total public	412	454
Universities	750	810
Four-year colleges	398	441
Two-year colleges	141	166
Total private	1,227	1,366
Universities	1,676	1,943
Four-year colleges	1,107	1,206
Two-year colleges[a]	511	593

[a]Data from private two-year colleges should be used with caution and only in conjunction with their standard errors as shown in Appendix Table C-6.

Table 23

Percentage Distribution of Undergraduate Student Aid Recipients, by Unadjusted Gross Family Income and Source of Aid, 1976-77: All Institutions (N=2,869)

Status and Family Income	Recipients of OE Aid Programs[a]	Recipients of *Any* Institutional Aid	Recipients of Institutional Aid *Only*
Total number	1,859,500	2,267,100	581,500
Total percentage	100.0	100.0	100.0
Dependent undergraduates, by unadjusted gross family income			
Less than $7,500	34.3	27.4	17.5
$7,500 - 11,999	18.6	18.0	14.3
$12,000 - 14,999	12.7	16.3	15.3
$15,000 or more	9.4	18.6	32.5
Independent undergraduates	25.0	19.7	20.5

[a]Source: F.J. Atelsek and I.L. Gomberg, Estimated Number of Student Aid Recipients, 1976-77, HEP Survey Report #36 (September 1977). Excludes recipients of Guaranteed Student Loan Program.

Table 24

Percentage Distribution of Undergraduate Student Aid Recipients, by Unadjusted Gross Family Income, Source of Aid and Control, 1976-77

Status and Family Income	Public Institutions (N=1,418)			Private Institutions (N=1,451)		
	Recipients of OE Aid Programs[a]	Recipients of *Any* Institutional Aid	Recipients of Institutional Aid *Only*	Recipients of OE Aid Programs[a]	Recipients of *Any* Institutional Aid	Recipients of Institutional Aid *Only*
Total number	1,357,900	1,669,000	432,700	501,600	598,100	148,800
Total percentage	100.0	100.0	100.0	100.0	100.0	100.0
Dependent undergraduates, by unadjusted gross family income						
Less than $7,500	36.6	30.7	18.7	28.0	18.3	13.8
$7,500 - 11,999	17.6	18.0	16.4	21.2	17.8	8.0
$12,000 - 14,999	10.9	15.5	16.4	17.7	18.8	11.9
$15,000 or more	5.7	11.8	24.0	19.5	37.4	57.1
Independent undergraduates	29.2	24.0	24.4	13.7	7.7	9.2

[a]Source: F.J. Atelsek and I.L. Gomberg, Estimated Number of Student Aid Recipients, 1976-77, HEP Survey Report #36 (September 1977). Excludes recipients of Guaranteed Student Loans.

Appendix A: Survey Instrument

AMERICAN COUNCIL ON EDUCATION
ONE DUPONT CIRCLE
WASHINGTON, D. C. 20036

HIGHER EDUCATION PANEL
(202) 833-4757

April 28, 1979

Dear Higher Education Panel Representative:

Enclosed is Higher Education Panel survey 42, "Institutionally-Funded Undergraduate Student Aid, 1976-77." Sponsored by the Economics and Finance Unit of the American Council on Education, this survey seeks information about the sources and level of funds provided by the institutions themselves to undergraduate students. Earlier surveys (numbers 18, 27 and 36) have dealt with recipients of federal aid programs; this survey focuses primarily on the institutional aspects. The questionnaire cover letter from ACE President Jack Peltason provides further information.

It is expected that information at many institutions will have tc be obtained from both the business office and the financial aid office. Please do not make record-by-record searches for information or spend an inordinate amount of time or effort trying to respond to this questionnaire. If a specific question seeks data which are not easily available, please leave that question blank. If possible, however, try to provide reliable estimates if exact counts are not available.

As usual, your responses will be held in strictest confidence, and data will be reported in summary fashion only. Please return the completed questionnaire to us by May 19, 1979. A self-addressed return envelope is enclosed for your convenience.

If you have any questions or problems, please call the HEP staff collect at 202-833-4757. Thank you again for your cooperation and assistance .

Sincerely yours,

Frank J. Atelsek

Frank J. Atelsek
Panel Director

Enclosures

AMERICAN COUNCIL ON EDUCATION
ONE DUPONT CIRCLE
WASHINGTON, D. C. 20036

OFFICE OF THE PRESIDENT

April 28, 1978

Dear Colleague:

Enclosed is the 42nd survey of the Higher Education Panel. This survey is being conducted as part of a larger ACE study supported by the Exxon Education Foundation on institutionally funded student aid and its influence on educational opportunity and institutional vitality.

While there have been many analyses of the impact of federal- and state-funded student financial assistance, very little attention has been paid to student assistance funded by colleges and universities, its magnitude and uses. We believe it is important that national data be collected and made widely available on the amount of student aid higher education institutions give directly to their students.

The results of this survey and the other products of the larger study are intended to be useful to institutional planners in establishing future student aid policies and to public policymakers in understanding the significant contributions of higher education institutions.

Please be assured that your responses will be held in strictest confidence. Results will be reported in aggregate only and will not be identifiable with any institution.

Your careful response will greatly contribute to the quality of the results of this special HEP survey. Please return the completed form by May 19.

Thank you.

Sincerely,

J. W. Peltason

General Instructions

Please provide the requested information as completely and accurately as possible. Where exact data are neither available nor easily accessible, try to provide reliable estimates. If no response is possible for a particular question, please indicate "not available". Please leave no blanks.

Item A. This section is to be used for reporting all aid from private sources distributed exclusively by the institution, including endowment interest, endowed scholarship funds, restricted gifts for student aid, and general institutional funds.

Public institutions should also include (under Unrestricted General Funds) state or local appropriations earmarked at the institutional (or system) level for student aid. Appropriations restricted at the state or local government level for student aid, even though part of the institution's general budget, should be considered governmental aid and reported in Item C.

Item B. The total amount of institutional aid from unrestricted general funds (exclusive of loans), as reported in Item A-7 for 1976-77, is also requested for the two previous years.

Item C. Please report here all federal, state, or local government aid. Public institutions should make the exceptions noted in Item A above.

Item D. Please provide as much information as possible, either exact counts or estimates.

AMERICAN COUNCIL ON EDUCATION
HIGHER EDUCATION PANEL SURVEY NO. 42

INSTITUTIONALLY-FUNDED UNDERGRADUATE STUDENT AID, 1976-77

If exact amounts or numbers are not available, please try to report *reliable estimates*.

A. Please report all aid provided by *institutional* funds for undergraduate students for 1976-77. Exclude all funds originating from federal, state, or local government sources. *For public institutions*, include under "Unrestricted General Funds" only state or local appropriated funds which were earmarked *at the institutional or system level* for student aid. Funds earmarked at the state or local governmental level should be reported in item C2.

"Restricted endowment income" includes endowed scholarships.

Also include awards for talents in the fine arts, such as music, sculpture, painting, etc.

(Aid given as an employment benefit.)

If awards are multipurpose, assign to the category of principal purpose.

FORMS OF AID (include both direct grants and remissions or waivers where appropriate)	TOTAL AID (in Dollars) 1976-77	AMOUNT OF 1976-77 AID FUNDED FROM: Restricted Endowment Income	Restricted Gifts	Unrestricted General Funds
	(A+B+C)	(A)	(B)	(C)
1. Need-based awards	$	$	$	$
2. Academic merit awards				
3. Athletic awards				
4. Staff and dependents' tuition remissions, waivers, or grants				
5. Student employment funds and institution's matching share of federal and state work-study programs				
6. Other (specify) _____				
7. TOTAL				
8. Loans made in 1976-77 (include guaranteed loans where your institution is lender, and your institution's portion of NDSL loans)				

B. Please report the amount of undergraduate aid *(exclusive of loans)* funded from *unrestricted general funds* in each of the past two years:

Undergraduate Aid From Unrestricted General Funds (comparable with boxed figure in A. 7. above) $_____ 1974-75

$_____ 1975-76

C. Please report noninstitutional funds (including aid for which your institution acted as a delivery agent).

1. Federal government aid

   a. **Grants and Work-Study**: How much federal grant money was provided to your undergraduates during 1976-77 (including BEOG, SEOG, College Work-Study, Law Enforcement Assistance Program, etc.)? *Exclude* Veterans and Social Security benefits. Also exclude your institution's contribution to CWS—it should be included in A. 5. above. $_____

b. **Loans**: How much federal loan money *was provided* to your undergraduates during 1976-77 (principally through National Direct Student Loans)? *Exclude* your institution's contribution; it should be included in A. 8. above. Also exclude GSL funds. $_____

2. State and local government aid

a. **Grants and Work-Study**: How much grant money from state or local governments was provided to your undergraduates specifically as student aid during 1976-77, either need-based or nonneed-based (e.g., aid to special groups of students). Include state and local appropriations specifically earmarked for student financial assistance. $_____

b. **Loans**: How much state or local government loan money *was provided* to your undergraduates during 1976-77? (*Exclude* your institutional contribution to the loan programs, if any.) $_____

c. *If there are state or local government undergraduate aid funds unaccounted for by categories a and b,* please indicate their approximate dollar amount. $_____

D. Please estimate the total number of undergraduates who received any form of aid in 1976-77 from any sources. Of those reported in column (1), please estimate (by dependency status and approximate level of family income) the number who received *any* aid from your institution; and of those reported in column (2), the number who received *only* institutional aid.

These categories are used for comparison with the earlier HEP student aid survey.

If approximate distributions are not available, please report totals.

STATUS AND FAMILY INCOME	(1) Estimated Number of Undergraduates Who Received *Any* Aid From *Any* Source	(2) Estimated Number of Undergraduates in (1) Who Received *Any* Institutional Aid	(3) Estimated Number of Undergraduates in (2) Who Received *Only* Institutional Aid
Undergraduate Dependent Unadjusted Gross Family Income			
Less than $7,500			
$7,500 – 11,999			
$12,000 – 14,999			
$15,000 or more			
Independent Undergraduates			
TOTAL AIDED UNDERGRADUATES			

Thank you for your assistance.
Please return this form by May 19, 1978, to:
Higher Education Panel
American Council on Education
One Dupont Circle, N.W.
Washington, D.C. 20036

Please keep a copy of this survey for your records.

Person completing form

Name _____

Department _____ Phone _____

If you have any questions or problems, please call the HEP staff collect at (202) 833–4757.

SEE GENERAL INSTRUCTIONS OVER

Appendix B: Methodology

Because of an overlap with another Panel survey, this questionnaire was mailed in two stages: On April 23, 1978, to the 524 Panel institutions that do not award the Ph.D. degree; and on June 19, 1978, to the 236 Panel institutions that do award the Ph.D. A second mailing to first-stage nonrespondents occurred on June 5, and a telephone follow-up to all nonrespondents was conducted in mid-August.

After eliminating institutions that had no undergraduate students, the survey sample was reduced from 760 to 734 institutions. By the end of August, usable responses had been received from 553 institutions, or 75 percent of the eligible Panel.

Response Analysis

Nonrespondents generally resembled respondents on the characteristics of type, control, census region, and enrollment. Private universities had a higher-than-average response rate (83 percent), and private two-year colleges had a lower-than-average response rate (67 percent).

Table B-1: Comparison of Respondents and Nonrespondents

Characteristic	Respondents (N=553)	Nonrespondents (N=181)	Response Rate
Total	100.0	100.0	75.3
Control			
Public	69.3	70.2	75.1
Private	30.7	29.8	75.9
Full Type			
Public university	14.8	14.9	75.2
Private university	10.3	6.6	82.6*
Public four-year college	26.9	30.4	73.0
Private four-year college	18.3	19.9	73.7
Public two-year college	27.5	24.9	77.2
Private two-year college	2.2	3.3	66.7*
Census			
East	26.0	24.4	76.8
Midwest	23.6	26.7	73.3
South	29.3	30.1	75.1
West	21.2	18.8	77.9
Undergraduate FTE 1976			
< 1,000	17.2	19.9	72.5
1,001 - 4,999	40.3	45.3	73.1
5,000 - 9,999	25.9	21.5	78.6
10,000 or more	16.6	13.3	79.3

*Exceeds or falls short of the overall response rate by more than 10 percent.

Weighting

A stratum-by-stratum ratio estimator was used for establishing the survey weights. This estimator also reflected the overall nonresponse and item nonresponse adjustments for this survey, as indicated in the following paragraphs.

The survey population was defined to include the 2,869 colleges and universities that enrolled undergraduate students, according to 1976 HEGIS opening fall enrollment data collected by the National Center for Education Statistics. All institutions in the population were then grouped in terms of the variables constituting the Panel's stratification design (Table B-2).

Statistical adjustment of survey responses to develop national estimates was accomplished on an institutional basis. That is, each data item was weighted, within each stratification cell, by the ratio of the number of institutions in the population to the number of institutions that responded to the survey item. Weights were computed separately to allow for differential item response. The resulting cell and item weights were applied to the responses of each institution, and the weighted data were then aggregated into the broad institutional categories used in the survey analysis. Thus all data represent independently computed population estimates. Because each data element was weighted separately, subtotals generally approximate, but may not add exactly to, their corresponding totals.

Table B-2: Stratification Design

Cell	1973 Fall FTE Enrollment	Population (N=2,869)	Respondents (N=553)
1	Public Ph.D. university	111	82
2	Private Ph.D. university	71	57
3	Public medical school	24	13
4	Public black four-year college (FTE > 3,000)	13	6
5	Public nonblack four-year college (FTE > 8,750)	106	75
6	Private medical school	8	4
7	Private nonblack four-year college (FTE 8,750)	13	7
8	Public two-year college (FTE > 8,750)	36	24
9	Public four-year college (FTE 3,700 - 8,750)	77	28
10	Public four-year college (FTE < 3,700)	187	27
11	Private four-year college (FTE 2,000 - 8,750)	133	30
12	Private four-year college (FTE 1,000 - 2,000)	277	35
13	Private four-year college (FTE < 1,000)	703	25
14	Public two-year college (FTE 5,100 - 8,750)	62	30
15	Public two-year college (FTE 3,260 - 5,100)	104	32
16	Public two-year college (FTE 1,600 - 3,260)	177	32
17	Public two-year college (FTE < 1,600)	521	34
18	Private two-year college	246	12

Appendix C: Reliablity of Estimates

Since the statistics presented in this report are based on a sample, they will differ somewhat from the figures which would have been obtained if a complete census had been taken using the same survey instrument, instructions, and procedures. As in any survey, the results are also subject to reporting and processing errors and errors due to nonresponse. To the extent possible, these types of errors were kept to a minimum by methods built into the survey procedures.

The standard error is primarily a measure of sampling variability; that is, the variations that might occur by chance because only a sample of the institutions is surveyed. The chances are about 68 out of 100 that an estimate from the sample would differ from a complete census by less than the standard error. The chances are about 90 out of 100 that the difference would be less than 1.65 times the standard error; about 95 out of 100 that the difference would be less than 1.96 times the standard error; and about 99 out of 100 that it would be less than 2 1/2 times as large. Thus, knowing the standard error permits us to specify a range within which we can have a stated confidence that a given percentage would lie if a complete census, rather than a sample survey, had been conducted.

Included below are tables showing the approximate standard errors of estimates of the base numbers and percentages shown in this report. To derive standard errors which would be applicable to a wide variety of statistics and which could be prepared at a moderate cost, a number of approximations were required. As a result, Tables C-1 through C-4, with appropriate factors shown in Table C-5, provide an estimate of the approximate standard error rather than the precise error for any specific data item. They show approximate standard errors by size of the item or of the percentage and the size of its base and are derived by generalization methods. Table C-6 shows actual standard errors for estimates in report Table 22.

Shown on the following pages are the standard error tables and the factors to be applied for each institutional category:

Table	Description
C-1	Standard error table to be used for estimated base numbers in Tables 1-20 (except Tables 6, 9, 15 and 18).
C-2	Standard error table to be used for all estimated percentages in Tables 1-20 (except Tables 6, 9, 15 and 18).
C-3	Standard error table to be used for estimated base numbers in Tables 23 and 24.
C-4	Standard error table to be used for estimated percentages in Tables 21, 23 and 24.
C-5	Factors to be used in conjunction with standard error Tables C-1 through C-4 for different institutional categories.
C-6	Standard error table for estimated averages in Table 22.

It should be noted that the standard errors do not apply to data from universities (Tables 6, 9, 15, and 18) since no sampling took place among this sector of institutions; all were invited to participate in the Panel survey system.

It should also be noted that only aggregate data are presented for private two-year colleges. The response rate for this group of institutions was relatively low (67 percent of those surveyed), consequently the responses of the 12 responding private two-year colleges were weighted to represent the population of 246 private two-year colleges. The aggregates themselves should be viewed with caution and only in conjunction with their standard errors.

Using the Standard Error Tables and Factors

Illustration #1: Table 7 of this report shows that 17.8 percent of institutional aid given at public four-year colleges was need based. Using standard error Table C-2, linear interpolation between the rows for bases of 100 million and 250 million, and between the columns showing 15 percent and 25 percent, shows that the standard error of 17.8 percent in a base of $236 million is about 1.2. Then applying the factor .84 used in Table C-5 for public four-year institutions in Tables 1-20, the chances are about 68 out of 100 that the figure obtained from a complete census of institutions would have differed by less than 1.0 percent from the sample percentage (.84 x 1.2) and about 90

out of 100 that it would have differed by less than 1.6 percent (1.0 x 1.65). Therefore, the 90 percent confidence limits of the estimate of 17.8 percent are 16.2 - 19.4.

Illustration #2: Table 24 shows that, at private institutions, about 598,100 undergraduates received some form of institutional aid. Using Table C-3, the row for an estimate of 600,000 shows a standard error of 31,000. Then applying the factor .96 used in Table C-5 for private institutions in Tables 23-24, the chances are about 68 out of 100 that the figure obtained from a complete census would have differed by less than 29,760 students (31,000 x .96) and about 90 out of 100 that it would have differed by less than 49,104 (29,760 x 1.65). Thus the 90 percent confidence limits of the estimate of 598,100 students are 548,996-647,204.

Illustration #3: Table 22 reports that at public two-year colleges the average award of grants and employment per aided undergraduate was $141. Table C-6 shows that chances are about 90 out of 100 that the figure obtained from a complete census would have differed by less than $40. Thus the 90 percent confidence limits of the estimate of $141 are $101-$181.

Table C-1: Approximate Standard Errors of Estimated Numbers: Data in Tables 1-20 (except Tables 6, 9, 15 and 18) (68 chances out of 100; in millions)

Size of Estimate	Standard Error
.5	.16
1	.26
10	1.3
50	4.3
100	7.0
250	13.6
500	22.5
750	30.1
1,000	37.0
1,500	49.6
2,500	71.6
5,000	118.0
5,250	122.2

Table C-2: Approximate Standard Errors of Estimated Percentages: Data in Tables 1-20 (except Tables 6, 9, 15 and 18) (68 chances out of 100)

Size of Base (in millions)	Estimated Percentage					
	2 or 98	5 or 95	10 or 90	15 or 85	25 or 75	50
.5	1.7	3.2	5.0	6.4	8.4	10.7
1	1.4	2.7	4.1	5.3	6.9	8.8
10	.8	1.4	2.2	2.8	3.6	4.6
50	.5	.9	1.4	1.8	2.3	2.9
100	.4	.7	1.1	1.5	1.9	2.4
250	.3	.6	.9	1.1	1.5	1.9
500	.3	.5	.7	.9	1.2	1.5
750	.2	.4	.6	.8	1.1	1.4
1,000	.2	.4	.6	.8	1.0	1.3
1,500	.2	.3	.5	.7	.9	1.1
2,500	.2	.3	.5	.6	.8	1.0
5,000	.1	.2	.4	.5	.6	.8
5,250	.1	.2	.4	.5	.6	.8

Table C-3: Approximate Standard Errors of Estimated Numbers: Data in Tables 23 and 24 (68 chances out of 100; in thousands)

Size of Estimate	Standard Error
150	15.4
450	26.8
600	31.0
1,700	52.3
2,250	60.2

Table C-4: Approximate Standard Errors of Estimated Percentages: Data in Tables 21, 23 and 24 (68 chances out of 100)

Size of Base (in thousands)	Estimated Percentage					
	2 or 98	5 or 95	10 or 90	15 or 85	25 or 75	50
150	1.4	2.2	3.1	3.7	4.4	5.1
450	.8	1.3	1.8	2.1	2.6	3.0
600	.7	1.1	1.5	1.8	2.2	2.6
1,700	.4	.7	.9	1.1	1.3	1.5
2,250	.4	.6	.8	1.0	1.2	1.3

Table C-5: Factors for Standard Errors of Sampling

Category of Institution	Factors to be used with: Tables 1-20 (except Tables 6, 9, 15, 18)	Tables 21, 23, 24
All institutions	1.00	1.02
Public institutions	.59	.96
Public four-year colleges	.84	.41
Public two-year colleges	1.20	1.64
Private institutions	1.41	.96
Private four-year colleges	1.79	1.09
Private two-year colleges	3.03	1.87

Table C-6: Standard Errors of Estimated Averages in Table 22 (90 chances out of 100)

Category of Institution	Grants and Employment	Grants, Employment, and Loans
All institutions	$ 63	$ 69
Public institutions	37	40
Public four-year colleges	44	48
Public two-year colleges	40	47
Private institutions	216	238
Private four-year colleges	270	293
Private two-year colleges	684	782

Other Reports of the Higher Education Panel
American Council on Education

El-Khawas, E. H. and Kinzer, J. L. **The Impact of Office of Education Student Assistance Programs, Fall 1973.** Higher Education Panel Report, No. 18, April, 1974.

El-Khawas, E. H. and Kinzer, J. L. **Enrollment of Minority Graduate Students at Ph.D. Granting Institutions.** Higher Education Panel Report, No. 19, August, 1974.

El-Khawas, E. H. **College and University Facilities: Expectations of Space and Maintenance Needs for Fall 1974.** Higher Education Panel Report, No. 20, September, 1974.

Kinzer, J. L. and El-Khawas, E. H. **Compensation Practices for Graduate Research Assistants: A Survey of Selected Doctoral Institutions.** Higher Education Panel Report, No. 21, October, 1974.

El-Khawas, E. H. and Furniss, W. T. **Faculty Tenure and Contract Systems: 1972 and 1974.** Higher Education Panel Report, No. 22, December, 1974.

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Atelsek, Frank J. and Gomberg, Irene L. **Bachelor's Degrees Awarded to Minority Students, 1973-74.** Higher Education Panel Report, No. 24, January, 1977.

Atelsek, Frank J. and Gomberg, Irene L. **Nonfederal Funding of Biomedical Research and Developement: A Survey of Doctoral Institutions.** Higher Education Panel Report, No. 25, July, 1975.

Gomberg, Irene L. and Atelsek, Frank J. **Major Field Enrollment of Junior-Year Students, 1973 and 1974.** Higher Education Panel Report, No. 26, April, 1976.

Atelsek, Frank J. and Gomberg, Irene L. **Student Assistance: Participants and Programs, 1974-75.** Higher Education Panel Report, No. 27, July, 1975.

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Atelsek, Frank J. and Gomberg, Irene L. **Faculty Research: Level of Activity and Choice of Area.** Higher Education Panel Report, No. 29, January, 1976.

Atelsek, Frank J. and Gomberg, Irene L. **Young Doctorate Faculty in Selected Science and Engineering Departments, 1975 to 1980.** Higher Education Panel Report, No. 30, August, 1976.

Atelsek, Frank J. and Gomberg, Irene L. **Energy Costs and Energy Conservation Programs in Colleges and Universities: 1972-73 and 1974-75.** Higher Education Panel Report, No. 31, April, 1977.

Atelsek, Frank J. and Gomberg, Irene L. **Foreign Area Research Support Within Organized Research Centers at Selected Universities, FY 1972 and 1976.** Higher Education Panel Report, No. 32, December, 1976.

Atelsek, Frank J. and Gomberg, Irene L. **College and University Services for Older Adults.** Higher Education Panel Report, No. 33, February, 1977.

Atelsek, Frank J. and Gomberg, Irene L. **Production of Doctorates in the Biosciences, 1975-1980: An Experimental Forecast.** Higher Education Panel Report, No. 34, November 1977.

Gomberg, Irene L. and Atelsek, Frank J. **Composition of College and University Governing Boards.** Higher Education Panel Report, No. 35, August, 1977.

Atelsek, Frank J. and Gomberg, Irene L. **Estimated Number of Student Aid Recipients, 1976-77.** Higher Education Panel Report, No. 36, September, 1977.

Atelsek, Frank J. and Gomberg, Irene L. **International Scientific Activities at Selected Institutions, 1975-76 and 1976-77,** Higher Education Panel Report, No. 37, January, 1978.

Atelsek, Frank J. and Gomberg, Irene L. **New Full-Time Faculty 1976-77: Hiring Patterns by Field and Educational Attainment,** Higher Education Panel Report, No. 38, March 1978.

Gomberg, Irene L. and Atelsek, Frank J. **Nontenure-Track Science Personnel: Opportunities for Independent Research,** Higher Education Panel Report, No. 39, September 1978.

Atelsek, Frank J. and Gomberg, Irene L. **Scientific and Technical Cooperation with Developing Countries, 1977-78,** Higher Education Panel Report, No. 40, August 1978.

Atelsek, Frank J. and Gomberg, Irene L. **Special Programs for Female and Minority Graduate Students,** Higher Education Panel Report, No. 41, November 1978.

Atelsek, Frank J. and Gomberg, Irene L. **Young Doctoral Faculty in Science and Engineering: Trends in Composition and Research Activity,** Higher Education Panel Report, No. 43, February 1979.

Single copies of the above reports may be obtained from the Higher Education Panel, American Council on Education, One Dupont Circle, Washington, D. C. 20036.